



Frequently Asked Questions for ARES

Revised: February 28, 2022

I. ARES Application Process

1. What is the mailing address to submit my completed ARES certificate application?

Elizabeth A. Rolando
Chief Clerk
Illinois Commerce Commission
527 E. Capitol Ave.
Springfield, IL 62701

2. Are there any prerequisites to filing for an ARES license?

Yes, the applicant must have already obtained a license to do business in the State of Illinois from the [Illinois Secretary of State](#) prior to applying with the Illinois Commerce Commission for an ARES certificate. It does not make a difference if the license from the Illinois Secretary of State is a "foreign" or "domestic" license.

3. Required number of copies to submit?

The original application and four copies are required. To assist Staff in its review of any application, applicants are asked to provide the Chief Clerk's Office with four additional copies of the Application and all attachments, along with the original. The four additional copies should be labeled as follows to be forwarded to the appropriate Staff:

- Office of Retail Market Development
- Manager of Finance Department, Financial Analysis Division
- Consumer Services Division
- Deputy General Counsel, Energy

(A handwritten annotation in the upper right-hand corner of the first page will be sufficient to direct the additional copies to the appropriate Staff.)

You can file the application electronically through the ICC e-docket system, the web site is www.icc.illinois.gov/e-docket/. If you are interested in filing electronically and need assistance, please call 217-557-4224.

4. Is there an application fee?

There is **no** application fee.

5. What is the law and what are the Commission's rules?

Section 16-115 can be found [here](#) and Code Part 451 can be found [here](#). Additionally, any companies serving residential and small commercial customers should be familiar with [Part 412](#) and [Part 453](#).

6. How do I file the license or permit bond?

The original license or permit bond is filed with the application.

7. What is the process for requesting confidential treatment of information in the application or attachments to the application?

To file confidential documents, please refer to Part [451.60](#).

8. How long does the license application process take?

A Docket Number will be assigned after the applicant has made its filing with the Commission. The Commission has 45 days after the date on which a complete application has been filed with the Commission and notice of the applicant's filing published in the Official State Newspaper to issue an order granting or denying an application to an ARES filing under Subpart B, C and E. However, the Commission can extend the time for considering an application filed under Subpart D up to 90 days.

9. Can an applicant check the status of their case?

Yes, you can check the status of your application by entering the ICC docket number in the e-Docket system located at www.icc.illinois.gov. If you do not know your docket number, you can click "Log into e-Docket" and perform a Full-Text Search with the name on the ARES license application which should pull up the docketed proceeding for the ARES license.

10. Can the ARES certificate process be expedited?

No. However, we encourage applicants to send a draft of their application for review so that Staff can provide input prior to filing the application with the Commission. Staff generally provides comments on draft applications within ten business days and will only review a draft application once. Draft applications can be sent to Rebecca West at Rebecca.west@illinois.gov. Please be advised that a review of your draft application is only a courtesy and not a necessary filing requirement and, as such, does not prejudice the approval or denial of your application.

11. What is the requirement to publish notice of applicant's filing in the Official State Newspaper?

In addition, Section 16-115(b) of the Act [220 ILCS 5/16-115(b)] and Part 451.30(a) require the applicant to publish notice of its application in the Official State Newspaper within 10 days following the filing of the application. The Official State Newspaper through September 14, 2020 is the Breeze Courier; its legal notices department may be reached at (217) 824-2233 (ask for legal notice department). The telefax number for the legal notices department is (217) 824-2026 and email is breezeclassifieds@breezecourier.com. The applicant shall send the original and two copies of the proof of publication to the Chief Clerk at the same address set forth above. The filing of the proof of publications should be made as soon as possible after publication.

12. If the applicant does not have a Federal Employee Identification Number (FEIN) per Section 451.20(c)(2), should the applicant provide their Social Security Number on the application?

No, please **DO NOT** provide a Social Security Number in place of a FEIN.

13. Does the applicant need to identify the type of customers it intends to serve?

Yes. An ARES applicant can apply for certification under any one of four Subparts:

- **Subpart B** to serve only nonresidential retail customers with maximum electrical demands of one megawatt or more,
- **Subpart C** to serve nonresidential retail customers with annual electric consumption greater than 15,000 kWh,
- **Subpart D** to serve all retail customers, or
- **Subpart E** to serve only the applicant itself and retail customers, at separate locations, if the customers are both owned by, or are subsidiaries or other corporate affiliate of, the applicant and are eligible for delivery services.

Applicants should identify in the first paragraph of the Application under which Subpart the applicant is filing.

14. Can an ARES apply for additional certifications other than the utility service territory and customer classifications it wishes to serve in the ARES Certification Application?

Yes. In addition to the certification under the subparts B through E, an ARES applicant can also apply for authorization to provide single-billing service under Subpart F.

15. If an ARES only holds a certificate from the ICC for a certain utility service territory or customer class and wishes to expand to a different utility service territory or additional customer class(s) must the ARES submit a new ARES certification application to the ICC to obtain a certificate for the new area or customer class that it seeks certification to serve?

Yes

16. Can an ARES choose to relinquish its ARES certificate?

Yes, an ARES can choose to relinquish its ARES certificate by submitting a petition to the Chief Clerk's Office to surrender its Certificate of Service Authority as an ARES. The petition should certify that the ARES is no longer serving any customers in Illinois and does not have any future plans, at that point, to do so. The petition should be notarized and signed from the President or CEO. The letter may be filed on eDocket or mailed to the Commission's Chief Clerk Office at the address mentioned above.

17. Whom should applicants contact with additional questions regarding the ARES certification process?

- General Questions:
 - Rebecca West
 - Office of Retail Market Development
 - Rebecca.west@illinois.gov
- Financial Qualifications Questions:
 - Phil Hardas
 - Finance Department, Financial Analysis Division
 - 217-557-5213
 - Phil.Hardas@illinois.gov

18. Are there other applicable Administrative Rules that should be reviewed by an applicant prior to submission of an ARES certificate application?

83 Ill. Adm. Code 200 ("Part 200"), Rules of Practice, provides the Commission requirements for filings. Contents of all documents must be consistent with the Commission's Rules of Practice.¹

II. ARES Recertification Process

19. Is each certified ARES required to file a recertification report with the ICC each year?

Yes, and the report is due annually on April 30th.

20. What time frame should be covered in the ARES Recertification Report?

The previous calendar year. For example, the report due April 30, 2021 should cover the time period of January 1, 2020 – December 31, 2020.

21. Are ARESs that are certified near the end of the reporting period such as November or December still required to file the ARES Recertification Report?

Yes. As long as an ARES was active and serving at least one customer, including themselves, for a portion of the reporting period, they must file the Recertification Report.

22. Is there a report format that should be followed?

Yes, there is an ARES Annual Report Form posted at <https://www.icc.illinois.gov/authority/alternative-retail-electric-suppliers>.

23. Are there filing fees for Recertification Reports?

No.

24. Will this annual report recertify my ARES license for the next year?

Yes, so long as the report is complete. Please note that this is a required filing and not a new ARES application; therefore, you will not receive a new docket number or a new license/certificate.

25. What are the consequences of failing to file the ARES Recertification Report?

The Commission may initiate a citation proceeding for failure to file the annual report.

26. Should the Annual Kilowatt-Hour Report be included with the ARES Annual Recertification Report?

No, the Annual Kilowatt-Hour Report required per [Part 451.770](#) is due by March 1 of each year.

¹ Part 200: <http://www.ilga.gov/commission/jcar/admincode/083/08300200sections.html>

27. Is there a form for the Annual Kilowatt-Hour Report?

Yes, this form is located on the [ARES webpage](#) under the Reporting Requirements Section. The report should be filed with the Chief Clerk's Office and must be verified, which means signed and notarized.

III. ARES Filing Requirements

28. What are the ARES Filing Requirements?

A list of ARES Filing Requirements can be found on the [ARES webpage](#) and in the company's entity profile page on the ICC website. Please note the information is provided only as a convenience and does not necessarily represent the full extent of a company's reporting obligations under the relevant statutes and rules. It is the responsibility of the service provider to determine and comply with the applicable reporting requirements.

29. Where can I file the required documents?

Most filings can be made by mail to the Chief Clerk's Office, but some filings have the option to be filed electronically. Please review the ARES Filing Requirements document on the ARES webpage to identify the filings options for each document.

30. How do I file by mail with the Chief Clerk's Office?

All mail filings must be mailed to:
Elizabeth A. Rolando
Chief Clerk
Illinois Commerce Commission
527 E. Capitol Ave.
Springfield, IL 62701

31. What should be included in the filing?

All filings must include a cover letter and verification page with original signatures. The cover letter and report must include the company's full name, including any registered DBAs, and should match exactly what appears on the ICC Public Utility Database and on the company's certificate with the ICC. Additionally, the cover letter and the report should cite the code part or statute reference pertaining to that filing.

32. Can an ARES check to see if any of the required filings were received?

Yes. This can be done by viewing the company's entity profile page on the ICC's website by typing in the ARES name on the ICC's website under [Utilities and Providers](#) and clicking the search button. When your company appears, click "View Profile." Once the profile appears, click "Compliance Filings" to view all compliance filings that have been received. If the filing you are looking for does not appear, then we have not received it and the company should resubmit. For mailed filings, please allow a couple of days for the Clerk's Office to receive and process the filing.

33. How does an ARES file the Designated Agent form?

To update your Designated Agent Form, please use our [entity search function](#) to find your company's entity profile. Once you locate your company, please click "Profile" and then go to the right-hand side of the webpage and click the link titled "Designated Agent Form" which is under the "Form Information" heading. This will download and open a word document of your existing Designate Agent Form on record with the Chief Clerk's Office. You may then make any necessary changes, print out the form and file the form following the instructions located at the top of the page.

IV. Other ARES Matters

34. How does an ARES update official corporate officer and/or corporate contact information located on the ICC's website under [Utilities and Providers](#)?

Written notification should be mailed to the Chief Clerk's Office:
Chief Clerk
Illinois Commerce Commission
527 E. Capitol Ave.
Springfield, IL 62701

35. How does an ARES get added to the [PluginIllinois.org List of Certified and Registered Suppliers](#)?

Email Sophia Markowska at sophia.markowska@illinois.gov with the information as you want it presented.

36. How does an ARES post an offer(s) on [PluginIllinois.org](#)?

The ARES must submit a completed External User Account Request form which can be found under [Alternative Retail Electric Supplier Forms](#). Please follow the directions at the top of the form and call the ICC Help Desk at 217-782-6785 for questions related to the account.

37. How does an ARES update Municipal Aggregation information found on [PluginIllinois.org](#)?

Email Rebecca West at Rebecca.west@illinois.gov to receive the ICC template for updated/corrected information. Additionally, please ensure to review part [470.200](#) to ensure you are sending the Commission all required information.